

- ☐ Assignment papers filed in parent application Serial No. _____.
- ☐ Certification of chain of title pursuant to 37 C.F.R. § 3.73(b).
- ☐ Foreign priority is claimed under 35 U.S.C. § 119 from _____ Patent Application(s) No. _____ dated _____.
- ☐ Priority document(s) will be submitted at a later date.
- ☐ Priority document(s) is/are submitted herewith.
- ☐ Information Disclosure Statement
- ☐ Copy of _____ cited references
- ☐ Preliminary Amendment
- ☒ Return receipt postcard (MPEP 503)
- ☐ This is a ☐ continuation ☐ divisional ☐ continuation-in-part (C-I-P) of prior application serial no. _____.
- ☐ Cancel in this application original claims _____ of the parent application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
- ☐ A preliminary Amendment is enclosed. (Claims added by this Amendment have been properly numbered consecutively beginning with the number following the highest numbered original claim in the prior application.
- ☐ The status of the parent application is as follows:
- ☐ A Petition For Extension of Time and a Fee therefor has been or is being filed in the parent application to extend the term for action in the parent application until _____.
- ☐ A copy of the Petition for Extension of Time in the co-pending parent application is attached.
- ☐ No Petition For Extension of Time and Fee therefor are necessary in the co-pending parent application.
- ☐ Please abandon the parent application at a time while the parent application is pending or at a time when the petition for extension of time in that application is granted and while this application is pending has been granted a filing date, so as to make this application co-pending.
- ☐ Transfer the drawing(s) from the patent application to this application.
- ☐ Amend the specification by inserting before the first line the sentence:
This is a ☐ continuation ☐ divisional ☐ continuation-in-part of co-pending application Serial No. _____ filed _____.

I. CALCULATION OF APPLICATION FEE

						Basic Fee
	Number Filed	Number Extra		Rate		\$690.00
Total Claims	27	-20=	7	x	\$18.00	\$ 126.00
Independent Claims	3	-3=	0	x	\$0.00	\$ 0.00
Multiple Dependent Claims						
	<input type="checkbox"/> yes		Additional fee	=	\$260.00 \$	\$ -0-
	<input checked="" type="checkbox"/> no		Additional fee	=	NONE	
Total:						\$ 816.00

- [] A statement claiming small entity status is attached or has been filed in the above-identified parent application and its benefit under 37 C.F.R. § 1.28(a) is hereby claimed. Reduced fees under 37 C.F.R. § 1.9(F) (50% of total) paid herewith \$ _____.
- [X] A check in the amount of \$816.00 in payment of the application filing fees is attached.
- [] Charge Fee(s) to Deposit Account No. 13-4500 Order No. _____. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
- [X] The Commissioner is hereby authorized to charge any additional fees which may be required for filing this application, or credit any overpayment to Deposit Account No. 13-4500, Order No. 1963-5006. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

By: Robert M. Pollaro
Registration No. 45,019

Dated: December 27, 2000

CORRESPONDENCE ADDRESS:

Morgan & Finnegan L.L.P.
345 Park Avenue
New York, New York 10154
(212) 415-8723 Telephone
(212) 751-6849 Facsimile

PATENT

IBM Docket No. YOR9-2000-0304 (1963-5006)

Express Mail Label No. EL 762529295 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): David P. Greene
Stephen J. Boies
Samuel Dinkin
Paul A. Moskowitz
Philip S. Yu



Serial No.: To Be Assigned

Filed: Herewith

For: **SYSTEM AND METHOD FOR "SWAPS" STYLE RISK PRODUCTS
BASED ON NETWORK ENABLED AGGREGATION**

EXPRESS MAIL CERTIFICATE

Express Mail Label No. EL 762529295 US

Date of Deposit: December 27, 2000

I hereby certify that the following attached paper(s) and/or fee

1. Utility Application and Application Fee Transmittal (in duplicate) (3 sheets);
2. Specification (20 pages), claims 1-27 (8 pages), abstract (1 page), 11 sheets of drawings (FIGS. 1, 2a-2g, 3a-3c);
3. Declaration And Power Of Attorney For Patent Application (3 sheets unexecuted); and
4. Return postcard.

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Commissioner Of Patents, BOX PATENT APPLICATION, Washington, D.C. 20231.

F. Garcia

(Typed or printed name of person
mailing paper(s) and/or fee)

F. Garcia
(Signature of person mailing
paper(s) and/or fee)

CORRESPONDENCE ADDRESS:
MORGAN & FINNEGAN, L.L.P.
345 Park Avenue
New York, New York 10154
(212) 758-4800/(212) 751-6849 Facsimile